



THE UNIVERSITY *of* EDINBURGH

2013

# RCUK/BIS Open Access Expenditure Report



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## Introduction

1. This is the final report to Research Councils UK (RCUK)/the Department of Business, Innovation and Skills (BIS) on the distribution of the sector grant to support the move to Open Access (OA) publishing. This report will review the original University of Edinburgh response to RCUK, detail the implemented actions and their impact, and consider future implications including support for established processes put in place during the implementation project.
2. The allocation received from RCUK/BIS was £609,000.
3. The University instigated a programme of work that has successfully put in place both a technical and support infrastructure to encourage the widespread adoption of Open Access by all researchers, not just RCUK funded ones. In this transition period the University of Edinburgh has expressed a strong preference for Green OA. However, where funder and publisher policies require Gold OA to be adopted the institution provides full support to enable our researchers to choose this option.
4. The focal point of the infrastructure is an OA advisory service which acts as a one-stop-shop for all university staff and students providing tailored help and support. This is underpinned by a team of Publications Assistants based within Colleges providing local administrative support, supported by an infrastructure providing Green and Gold OA options.
5. Funding from the BIS grant has enabled the Publications Assistants to source and make available 8,500 Green OA research outputs during the project. At the time of writing the University of Edinburgh's institutional repository<sup>1</sup> now hosts 10,750 full text items.
6. The programme of work also investigated and set up an institutional OA publication fund to streamline and consolidate the process of handling OA publication charges where they are required. This included evaluating the current publisher OA membership accounts, enabling recommendations to be made on which schemes best extend the reach of the Gold OA block grant making it available for more RCUK-funded authors.
7. Alongside this Edinburgh joined the JiscAPC pilot project to test whether the system could assist with the administrative load of APC payment processing and reduce costs substantially. Until the pilot is finished the University of Edinburgh is using its own infrastructure to manage the Gold OA publications fund.

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<sup>1</sup> Edinburgh Research Explorer: [www.research.ed.ac.uk](http://www.research.ed.ac.uk)

## Highlights

“8,500 Green Open Access articles deposited”

“University-wide Open Access infrastructure in place”

“Institutional Gold OA publication fund ready for RCUK authors”

## Outputs and Results

8. The University of Edinburgh instigated OA support work in four key areas: policy, staffing, infrastructure and efficiency.

Outputs	
<b>Policy support</b> <u>Objective:</u> <i>create and implement appropriate University structures and strategies to ensure compliance with the RCUK and other research funders OA Policies.</i>	
<ul style="list-style-type: none"> <li>Open Access Governance Group</li> </ul>	The University has established an Open Access Governance Group comprising senior academics, including the College Deans, as well as professional services support staff of Research, to advise and report to the Research Policy Group <sup>2</sup> on all matters relating to Open Access.
<ul style="list-style-type: none"> <li>University Publications and Open Access Policy</li> </ul>	The OA Governance Group, supported by the Library, has revised the University's Research Publications & Open Access Policy to include the conditions of the RCUK Open Access policy.
<ul style="list-style-type: none"> <li>Open Access Programme</li> </ul>	The University has initiated a dedicated Open Access programme to embed the new policy across the University. Each academic unit has been allocated significant resources to recruit extra staff to assist with the sourcing of uploading of OA papers to the repository.
<b>Staff support</b> <u>Objective:</u> <i>Ensure that appropriate staff are in place to enable compliance with the RCUK Open Access Policy and the updated Research Publications Policy.</i>	
<ul style="list-style-type: none"> <li>Programme Support</li> </ul>	To initiate the programme of work Information Services have employed project staff to form a central team whose role is to support the wider university. The work was overseen by a Programme Manager who reported directly to the Open Access governance group. A dedicated Project Officer worked directly with the University's three Colleges to offer advice, effort and training to comply with the Policy.
<ul style="list-style-type: none"> <li>Technical Support</li> </ul>	The project employed a software developer whose role was to surface data and OA content stored in the repository in other systems and applications; e.g. making it easier for researchers to automatically update the publications section of their personal web pages with data from the repository.
<ul style="list-style-type: none"> <li>College &amp; School Support</li> </ul>	The bulk of the BIS grant was used to employ 20 full-time clerical staff on short term contracts until the end of 2013. These Publication Assistants are embedded within each major academic unit and work directly with academic staff to source, upload and manage their bibliographic data and add full text versions of outputs to the repository.

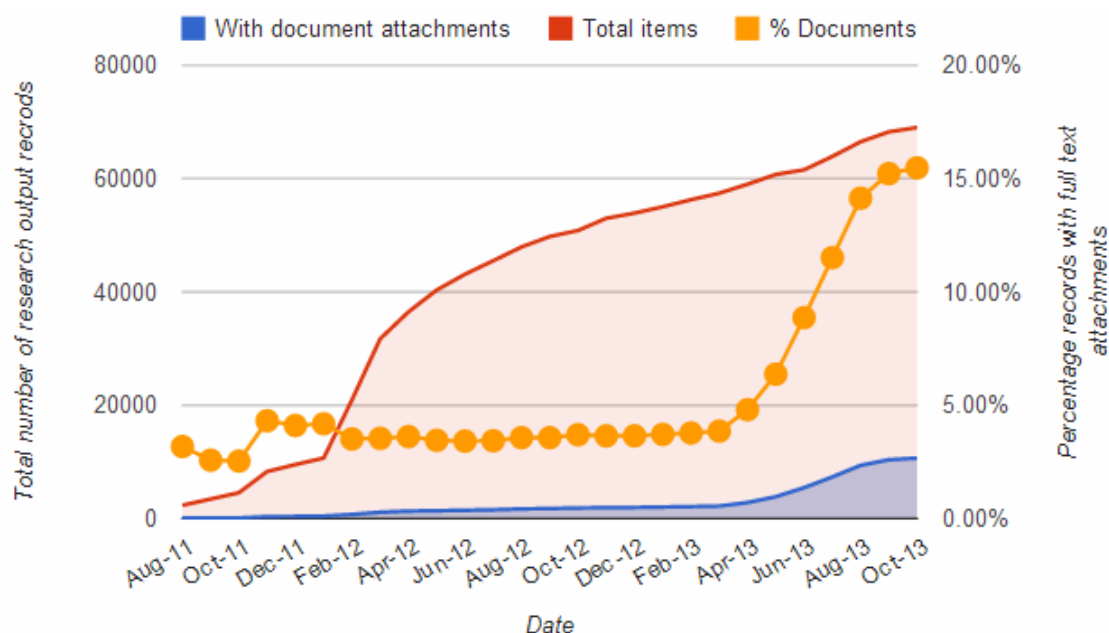
<sup>2</sup> <http://www.ed.ac.uk/schools-departments/governance-strategic-planning/research/rpg>

<b>Infrastructure support</b> <u>Objective:</u> <i>Develop systems and applications to ensure that providing and publishing Green OA copies of publications is an easy task for authors and administrators, to maximise the reuse and impact of the collected OA content, and to improve the management reporting capabilities.</i>	
<ul style="list-style-type: none"> <li>Research Explorer development package</li> </ul>	This package of work aimed to scope and redesign the University's public research portal <sup>3</sup> , with a focus on improved discoverability, reuse and dissemination of open access content, plus scope some extra functionality (request copy functionality).
<ul style="list-style-type: none"> <li>Web services improvement package</li> </ul>	A suite of changes to improve the web services in the repository to support distribution and reuse of content, e.g. the ability to make incremental rather than full harvests, or the inclusion of access status flags in API calls.
<ul style="list-style-type: none"> <li>Research output data model enhancement</li> </ul>	Improvements to the publication import templates and functionality (i.e. reporting the license type, recording APC payments) to support OA reporting requirements.
<b>Efficiency support</b> <u>Objective:</u> <i>Ensure that the Open Access options chosen by authors are provided in the most cost-effective manner.</i>	
<ul style="list-style-type: none"> <li>OA support service</li> </ul>	Based on comprehensive knowledge of existing research funders OA requirements, journal publisher copyright policies and the Green OA infrastructure, the Library provides advice to all University researchers to ensure they take the most cost-effective route to Open Access Publication, whether this is through Gold or Green OA routes.
<ul style="list-style-type: none"> <li>Evaluation of Publisher OA schemes</li> </ul>	An evaluation exercise was carried out to look at the main publisher OA deals presented to the University to extend the reach of the block grant making it available for more RCUK-funded authors. Recommendations were made on which discount schemes are best for the University.
<ul style="list-style-type: none"> <li>Investigate &amp; support alternative Scholarly Communication</li> </ul>	We set aside a modest part of the grant to support alternatives to the current existing publishing models, for example the HAU-NET network. This is an open-access, non-profit initiative in anthropology supported by a network of collaborating centres that champion and further the Journal of Ethnographic Theory and its prospects.

<sup>3</sup> Edinburgh Research Explorer portal : [www.research.ed.ac.uk](http://www.research.ed.ac.uk)

## Outcomes & Assessment of Impact

9. During the project the OA programme has sourced 8,500 Green OA research outputs and made them publicly available from the Edinburgh Research Explorer. At the time of writing the University of Edinburgh's institutional repository hosts 10,750 full text items.



**Figure One:** Growth in content over time since launch of repository.

10. Prior to the OA programme activity the percentage of records with full text OA attachments held in the repository was a steady 3.5%. Figure 1 shows that this has risen to over 15% of the 69,000 records currently held in the system.
11. From the numbers presented here it is clear that a mediated service to archive papers on behalf of authors is very effective. Furthermore, the OA governance group has expressed the opinion that this service is extremely valuable to researchers.

## Budget

OA-Related Activity	Allocation
APCs	-
OA Subscriptions	-
Staff costs (including policy/training/awareness raising)	£530,000
Systems development/IT infrastructure	£79,000
Other	-
<b>Total</b>	<b>£609,000</b>